



Internal Audits

Audits

- Types of audits
 - 1st Party – conducted internally
 - 2nd Party – most likely performed by a customer
 - 3rd Party – most likely conducted for certification
- Internal Audits
 - Conducted by the organisation on the QFSMS by the organisation
 - Health check
 - Continuous improvement tool

What are Internal Audits?

The purpose of an internal audit is to assess:

- the effectiveness of the organisation's quality management system.
- the organisation's overall performance.
- compliance with your 'planned arrangements', goals and expectations.
- the evidence that you are doing what you said you were going to do

Why are they required?

- Leadership
 - ISO requirement
 - Management Review
- Verification
 - Step 11 under HACCP

Types of Internal Audits

- There are common methods of internal auditing that may be used to determine compliance:
 - Systems Audit
 - Process Audit
 - Product Audit

Systems Audit

- The systems audits are best undertaken using the internal audit checklist.
- This type of audit focuses on the organisation's QFSMS as a whole, and compares the planning activities and broad system requirements to ensure that each clause or requirement has been implemented.
- Use the FeedSafe Audit Checklist as an example

Process Audits

- The process audit is an in-depth analysis which verifies that the processes comprising the management system are performing and producing in accordance with the desired outcomes.
- The process audit also identifies any opportunities for improvement and possible corrective actions.
- Process audits are used to concentrate on any special, vulnerable, new or high-risk processes.

Process Audits

- Examples include:
 - Approved Supplier Program
 - Training Records
 - Incoming Raw Material Acceptance
 - Batching versus Formulation
 - Customer Complaints

Product Audits

- The product audit may be a series of audits, at appropriate stages of design, production and delivery to verify conformity to any specified product requirements, such as dimensions, functionality, packaging and labelling, at a defined frequency.
- Nutrient specification versus analyses

Schedule

- Internal audits are ‘mini audits’
 - Not required to do the whole QFSMS at one time
 - Ensure all parts are audited over the year
- The audit schedule provides the following benefits:
 - Provides a visual plan of the audit programme
 - Demonstrates coverage of the whole standard
 - Provide current status of the audit programme
 - Promotes awareness

Internal Audit Tools

- Audit Checklist
- Gap Analysis

Internal Auditors

- Trained in internal auditing
- Recognised and authorised
- Objective and Impartial
- Independent of process
- Approachable

Preparation

- Define the scope of the audit
- Develop the audit tool to be used
 - Checklist
 - Review
- Communicate to the auditee
 - Scope
 - Timing

Conducting the Audit

- Audit opening meeting
 - Scope and expectations
- Observations
- Review records
- Complete checklist
- Review the audit findings
- Closing Meeting

Conducting the Audit - Example

- Personal Hygiene
 - Hand washing – are resources available and maintained?
 - PPE – is it available? Is it being used correctly?
 - Uniforms – clean and appropriate?
 - Health status – is there evidence that this is being monitored?
 - Smoking – maintained and controlled
 - Amenities – clean, appropriate

Conducting the Audit - Example

- Incoming Raw Materials
 - Is it happening as per the SOP?
 - Who's involved – Operations, Purchasing, other?
 - Are appropriate and accurate records available?
 - Are rejections being followed, recorded and corrective actions applied?
 - Are outcomes recorded against the approved supplier program?

Conducting the Audit - Example

- Site Environment and Cleanliness
 - Monthly site walk through
 - Is it clean and tidy?
 - Is waste material being managed?
 - Are all materials being managed?
 - Is rework identified?

Closing Out the Audit

- Non-Conformances
 - Agreed with auditee
 - Recorded and communicated to all stakeholders
- Corrective Actions
 - Agreed with auditee
 - CA are realistic and achievable
 - Followed up and closed out

The Audit Report

<i>Audit Activity</i>		<i>Date</i>	
<i>Process Owner</i>			
<i>Audit Criteria</i>			
<i>Auditor(s)</i>			
<i>Audit Scope</i>			
<i>Audit Trail/Log</i>			
<i>Observations</i>			
<i>Audit Status</i>	Satisfactory	Minor NC	Major NC
<i>Corrective Actions required.</i>			
<i>Corrective Actions closed</i>			
<i>Next Audit</i>			
<i>Signed</i>		<i>Date</i>	





Questions

Questions Received

- **Where can I find the audit checklist and any materials?**
Members section of SFMCA website
Will need your login and password
- **Does the HACCP training need to be accredited training?**
Preferably yes

For Information

- HACCP Courses

SAI Global – 35% off until 30 June (Virtual classes being run)

- Auditors

List of endorsed auditors in the Members section of the SFMCA website.